

# EXHIBIT A

Period Ended September 30, 2020

CASH RECEIPTS:

	Net Change		Cumulative Detail				Code
	for Period	Prior Period Cumulative	Total Received	Customer Fund	General Estate	SIPC	
<u>General Cash Receipts</u>	\$25,196,126.94						
Beginning Cash Balance	0.00	289,841,911.70	289,841,911.70	289,841,911.70			4011
Transfer from Debtor's Estate - Securities	0.00	336,660,934.06	336,660,934.06	336,660,934.06			4014
Transfers from Debtor's Estate - BNY Account	0.00	235,156,309.36	235,156,309.36	235,156,309.36			4016
Transfers from Debtor's Estate - Chase Account	0.00	4,036,145.08	4,036,145.08	4,036,145.08			4018
Transfers from Debtor's Estate - Other	0.00	1,843,180.59	1,843,180.59	1,843,180.59			4040
Interest and Dividends	0.00	37,316,297.78	37,316,297.78	37,316,297.78			4030
Closeout Proceeds - Broker Dealers	0.00	21,783,082.40	21,783,082.40	21,783,082.40			4031
Closeout Proceeds - NSCC	0.00	18,001,787.96	18,001,787.96	18,001,787.96			4032
Closeout Proceeds - DTCC	0.00	47.26	47.26	47.26			4070
Sale of Debtor's Assets	0.00	91,037.20	91,037.20	91,037.20			4071
- Sports Tickets	0.00	7,959,450.94	7,959,450.94	7,959,450.94			4072
- Bank Debt Participations	0.00	204,170.51	204,170.51	204,170.51			4073
- DTCC Shares	0.00	1,419,801.63	1,419,801.63	1,419,801.63			4075
- Market Making Business	0.00	795,000.00	795,000.00	795,000.00			4076
- Abtech	0.00	100,734.60	100,734.60	100,734.60			4077
- NSX Shares	0.00	6,494,631.95	6,494,631.95	6,494,631.95			4074
- BLM Air Charter	0.00	644,579.15	644,579.15	644,579.15			4078
- Auction Sales	0.00	11,428.57	11,428.57	11,428.57			4079
- Other	0.00	531,078.49	531,078.49	531,078.49			4111
Administrative Subtenant Rent Revenue	0.00	(531,078.49)	(531,078.49)	(531,078.49)			4111a
Adjusting Administrative Subtenant Rent Revenue	0.00	9,841.45	9,841.45	9,841.45			4091
Refunds - Deposits	0.00	177,247.15	177,247.15	177,247.15			4092
- Dues/Subscriptions	0.00	157.00	157.00	157.00			4093
- Car Registrations	0.00	62,451.27	62,451.27	62,451.27			4094
- Vendors	0.00	833.61	833.61	833.61			4095
- Transit Cards	0.00	442,311.56	442,311.56	442,311.56			4096
- Insurance/Workers Comp	0.00	144,500.00	144,500.00	144,500.00			4097
- Ref. - Political Contributions	0.00	50.84	50.84	50.84			4099
- Refunds Other	0.00	112,392,379.79	112,392,379.79	112,392,379.79			4020
Recoveries - Customer Avoidances	0.00	1,903,783,597.98	1,903,783,597.98	1,903,783,597.98			4021
- Pre-Litigation Settlements	3,401,307.83	11,253,169,647.22	11,256,570,955.05	11,256,570,955.05			4022
- Litigation Settlements	0.00	875,000.00	875,000.00	875,000.00			4023
- Donation Settlements	0.00	809,850.39	809,850.39	809,850.39			4024
- Vendor Preferences	0.00	1,034,311.82	1,034,311.82	1,034,311.82			4025
- MSIL Liquidation	0.00	10,674.74	10,674.74	10,674.74			4102
- Employees	0.00	12,777.56	12,777.56	12,777.56			4103
- Taxing Authorities	0.00	2,744,695.12	2,744,695.12	2,744,695.12			4104
- Class Actions	0.00	308,948.49	308,948.49	308,948.49			4105
- NASDAQ	0.00	183,683.79	183,683.79	183,683.79			4106
- NYSE	0.00	96,816.23	96,816.23	96,816.23			4107
- Transaction Fees	0.00	796,298.73	796,298.73	796,298.73			4109
- Other	0.00	0.36	0.36	0.36			4110
Miscellaneous	16,247.19	113,025,181.47	113,041,428.66	113,041,428.66			4120
Earnings on Trustee's Investments	8,458.83	7,837,366.89	7,845,825.72	7,845,825.72			4140
Interest on Trustee's Savings Accounts	\$3,426,013.85	\$14,360,279,154.20	\$14,363,705,168.05	\$14,363,705,168.05			
Administration - Advances	13,855,731.49	1,954,878,448.42	1,968,734,179.91			1,968,734,179.91	2901
Securities - Paid Bank Loans	0.00	0.00	0.00			0.00	2921
- Cash in Lieu	0.00	848,943,412.47	848,943,412.47			848,943,412.47	2922
Sub-total SIPC Advances	\$13,855,731.49	\$2,803,821,860.89	\$2,817,677,592.38			\$2,817,677,592.38	
Funds Transferred from Investment Accounts *See Note (2) on Page 3	0.00	12,207,362,944.73	12,207,362,944.73				1901
Total Cash Receipts	\$17,281,745.34	\$29,371,463,959.82	\$29,388,745,705.16	\$14,363,705,168.05	\$0.00	\$2,817,677,592.38	

Period Ended September 30, 2020

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CASH DISBURSEMENTS:

Administrative Disbursements

General Administrative Disbursements	Net Change for Period	Prior Period Cumulative	Cumulative Total Paid	Code
Computer - Rental	0.00	11,121.59	11,121.59	5011
- Software Support	0.00	55,159.20	55,159.20	5012
- Equipment Leases	0.00	204,159.01	204,159.01	5013
Employee Related - Salaries-Net	0.00	4,361,844.80	4,361,844.80	5020
- FICA-Employer	0.00	318,550.60	318,550.60	5021
- Fed. & St. Unemploy.	0.00	4,296.08	4,296.08	5023
- Temporary Help	0.00	29,612.50	29,612.50	5024
- Employee Medical Plan	0.00	830,103.99	830,103.99	5025
- Employee LTD	0.00	6,887.03	6,887.03	5026
- Employee Expense Reimbursement	0.00	1,125.87	1,125.87	5027
- Employee Life/AD&D	0.00	9,006.83	9,006.83	5028
- Other	0.00	1,622.90	1,622.90	5029
Insurance - Trustee Bond	0.00	6,600.00	6,600.00	5030
Insurance - Surety & Fidelity Bonds	0.00	37,400.00	37,400.00	5031
Insurance Workers Comp	0.00	12,578.00	12,578.00	5032
- Other	0.00	56,015.45	56,015.45	5039
Fees - Payroll Processing	0.00	8,195.96	8,195.96	5045
Fees - Escrow	0.00	1,221,698.85	1,221,698.85	5046
- Other	0.00	24,168.64	24,168.64	5047
Expenses for Asset Sales	0.00	48,429.09	48,429.09	5048
Rent - Office	0.00	3,987,347.17	3,987,347.17	5050
- Adjustment for Administrative Subtenant Rent Revenue	0.00	(531,078.49)	(531,078.49)	5050a
- Equipment	0.00	1,695.89	1,695.89	5051
- Warehouse	19,441.05	2,172,436.68	2,191,877.73	5052
- Bulova	0.00	310,130.75	310,130.75	5053
- Other	0.00	69,725.61	69,725.61	5059
Costs - Vacating 885 Third Avenue	0.00	20,179.46	20,179.46	5111
Telephone and Telegraph	0.00	360,456.68	360,456.68	5060
Communication Fees	0.00	670,057.02	670,057.02	5061
Utilities - Electricity	295.31	53,500.90	53,796.21	5070
Office Supplies & Expense - Maint. & Repairs	0.00	79,338.86	79,338.86	5080
- Moving & Storage	7,662.26	494,262.24	501,924.50	5081
- Postage/Handling/Preparation	0.00	40,961.12	40,961.12	5082
- Reproduction	0.00	183,889.65	183,889.65	5083
- Locksmith	0.00	5,811.39	5,811.39	5084
- Security	0.00	249,897.70	249,897.70	5085
- Supplies	0.00	3,865.31	3,865.31	5086
- Temporary Help	0.00	4,588,642.69	4,588,642.69	5087
- Process Server - Complaint	0.00	244,026.52	244,026.52	5088
- Other	0.00	36,250.63	36,250.63	5089
Taxes	0.00	555.51	555.51	5090
NYC Commercial Rent Tax	0.00	154,269.47	154,269.47	5091
Claims Related Costs - Mailing Costs	0.00	23,053.28	23,053.28	5101
- Publication	0.00	163,961.13	163,961.13	5102
- Supplies	0.00	16,244.58	16,244.58	5103
- Printing	0.00	2,207.42	2,207.42	5104
Court Related Noticing - Postage/Handling/Preparation *See Note (1) Below	0.00	0.00	0.00	5106
- Reproduction	0.00	0.00	0.00	5107
- Supplies	0.00	0.00	0.00	5108
Scanning - Investigation	0.00	5,189,846.75	5,189,846.75	5110
Foreign Research	0.00	38,975.00	38,975.00	5112
Miscellaneous	0.00	666.91	666.91	5115
Hosting Expense	0.00	56,714,924.13	56,714,924.13	5244
Sub-total General Admin. Disbursements	\$27,398.62	\$82,594,678.35	\$82,622,076.97	
<u>Professional Fees and Expenses</u>				
Trustee Fees	0.00	4,377,662.10	4,377,662.10	5200
Trustee Expenses	0.00	2,549.25	2,549.25	5201
Trustee Counsel Fees (Baker)	16,275,861.20	1,209,681,301.82	1,225,957,163.02	5210
Trustee Counsel Expenses (Baker)	40,451.69	19,020,443.10	19,060,894.79	5211
Trustee Counsel Fees (Windels)	2,405,421.56	68,193,744.24	70,599,165.80	5212
Trustee Counsel Expenses (Windels)	3,460.41	722,555.19	726,015.60	5213
Special Counsel Fees	2,225,147.01	93,055,131.89	95,280,278.90	5220
Special Counsel Expenses	52,713.97	14,856,440.45	14,909,154.42	5221
Accountant Fees	0.00	0.00	0.00	5230
Accountant Expenses	0.00	0.00	0.00	5231
Consultant Fees	1,030,502.23	453,457,043.69	454,487,545.92	5240
Consultant Expenses *See Note (1) Below	38,076.98	20,385,002.55	20,423,079.53	5241
Investment Banker Fees	0.00	1,050,000.00	1,050,000.00	5242
Sales Tax	0.00	1,692,954.97	1,692,954.97	5243
Mediator Fees	28,496.25	4,621,910.17	4,650,406.42	5245
Mediator Expenses	0.00	14,091.00	14,091.00	5246
Receiver Counsel Fees	0.00	300,000.00	300,000.00	5260
Receiver Counsel Expenses	0.00	6,449.08	6,449.08	5261
Receiver's Consultants Fees	0.00	316,000.00	316,000.00	5262
Receiver's Consultants Expenses	0.00	15,000.00	15,000.00	5263
Sub-total Professional Fees and Expenses	\$22,100,131.30	\$1,891,768,279.50	\$1,913,868,410.80	
Total Administrative Disbursements	\$22,127,529.92	\$1,974,362,957.85	\$1,996,490,487.77	

Period Ended September 30, 2020

Report No. 142

<u>CASH DISBURSEMENTS:</u>		Net Change	Prior Period	Total	Cumulative Totals			Code
<u>Claim Related Disbursements</u>		for Period	Cumulative	Paid	Customer Fund	General Estate	SIPC	
Customer - Paid Bank Loan		\$	\$	\$				6021
- Securities - Cash in Lieu	0.00		13,931,034,676.52	13,931,034,676.52	13,082,091,264.05		848,943,412.47	6022
- Securities - Purchases								6023
- Indemnification								6031
- Cash Balance								6041
Customer -								6050
Customer -								6060
Customer - Trustee Journal Entry								
per Allocation								6000
Other - Contractual Commitments								6111
- Pd. Bank Loan								6121
- Indemnification								6131
Other -								6140
Other -								6150
Other -								6160
Other - Trustee Journal Entry								
per Allocation								6100
General Creditor								6200
Sub-total Claim Disbursements		\$0.00	\$13,931,034,676.52	\$13,931,034,676.52	\$13,082,091,264.05	\$0.00	\$848,943,412.47	
<u>Other Disbursements (except investments)</u>								
SIPC - Refunds - Recoupment								6301
- Indemnification								6310
- Contr. Commitments								6311
- Paid Bank Loan								6321
- Subrogation	0.00		237,501,714.51	237,501,714.51	237,501,714.51			6322
Other -								6400
Other -								6401
Other -								6402
Other -								6403
Other -								6404
Sub-total Other Disbursements		\$0.00	\$237,501,714.51	\$237,501,714.51	\$237,501,714.51	\$0.00	\$0.00	
Investments by Trustee - Purchases *See Note (2) Below		\$24,706.02	\$13,203,368,484.00	\$13,203,393,190.02				1900
Sub-total Administrative Disb. - page 2		\$22,127,529.92	\$1,974,362,957.85	\$1,996,490,487.77	\$0.00	\$0.00	\$1,996,490,487.77	
Total Disbursements		\$22,152,235.94	\$29,346,267,832.88	\$29,368,420,068.82	\$13,319,592,978.56	\$0.00	\$2,845,433,900.24	
Total Receipts less Disbursements		(\$4,870,490.60)	\$25,196,126.94	\$20,325,636.34	\$1,044,112,189.49	\$0.00	(\$27,756,307.86)	
Ending Cash Balance *See Note (3) Below		\$20,325,636.34						

\* Note (2) Two preferred custody accounts and an insured money market account have been established at Citibank for investment purposes and additional investment accounts are maintained at JP Morgan Chase and Goldman Sachs. The Goldman Sachs Account was established in December 2016 in connection with the Chais Settlement. A Broker's account, which was previously established at Morgan Joseph, was closed in January 2012. Since January 20, 2009, \$13,203,393,190.02 of recovered funds have been transferred into these investment accounts and \$12,207,362,944.73 of these funds have subsequently been used for interim distributions to customers with allowed claims and for operations. (See Page 5 for more details).

\* Note (3) The ending cash balance includes a \$ 19,550,303.17 balance in the Citibank Business Checking Account and \$ 775,333.17 in the Citibank Distribution Account.

Period Ended September 30, 2020

Report No. 142

SUMMARY INFORMATION ON STATUS OF LIQUIDATION

	Customer Claimants	Broker/Dealer Claimants	General Estate Claimants
Claims received	16,521	49	95
Claims satisfied by distribution of cash and/or securities:			
a. As part of the transfer in bulk			
b. On an account by account basis-Fully Satisfied	1,702		
c. On an account by account basis-Partially Satisfied	950		
	2,652	-	-
Claims Determined - no claims	12		
Claims Deemed Determined - pending litigation	11		
Claims Determined - withdrawn	417		
Claims Determined but not yet satisfied	1		
Claims under review	-	49	95
Claims Denied:			
a. Other Denials for which no objections were filed	10,233		
b. Denials for which objections were filed:			
- Trustee's Determinations Affirmed	2,912		
- Hearing not yet set	279		
- Set for Hearing	4		
	13,869	49	95

Filing Date Value

Customer name securities distributed  
Customer fund securities distributed

\$

Irving H. Picard / by Denis O'Leary  
(Trustee's Signature)

10/16/2020  
(Date)

William Kingsford  
(Accountant's Signature)

10/16/2020  
(Date)

Period Ended September 30, 2020

Report No. 142

IRVING H. PICARD, TRUSTEE FOR THE LIQUIDATION OF BLMIS, LLC  
Investment Accounts

	Citibank Preferred Custody Account					Citibank IMMA Account	Total Citibank
	Cash Assets/Mutual Funds (5)*	U.S. Treasury Bills (4)*	U.S. Treasury Notes (4)*	Accrued Interest (4)*	Account Balance	Account Balance (5)*	
<b>Balance August 31, 2020</b>	121,891,415	196,875,155	-	1,882	318,768,452	103,193,697	421,962,149
Maturing of U.S. Treasury Bills					-		-
Purchase of U.S. Treasury Bills					-		-
Sales of Equity Securities							-
Realized Gains (Losses)							-
Unrealized Gain or (Loss)		19,866			19,866		19,866
Interest and Dividends Earned							
Interest	1,882			(880)	1,002	8,459	9,461
Dividends							
Transfer of Funds from an Escrow Account							
Transfer of Funds to the Citibank IMMA Account							
Transfer of Funds from the Citibank Operating Account							
<b>Balance September 30, 2020</b>	121,893,297	196,895,021	-	1,002	318,789,320	103,202,156	421,991,476

	Goldman Sachs			Neuberger Berman	
	Cash/Mutual Funds (5)*	Alternative Investments (5)*	Account Balance	Alternative Investments (5)*	Account Balance
<b>Balance August 31, 2020</b>	19,450,549	3,041,943	22,492,492	56,472	56,472
Distributions Received	66,043	(66,043)	-		
Annual Custody Fee			-		
Sale of Securities			-		
Realized Gain on the Sale of Securities					
Unrealized Gain or (Loss)	(5)	82,044	82,039		
Interest and Dividends Earned	1,123		1,123		
<b>Balance September 30, 2020</b>	19,517,710	3,057,944	22,575,654	56,472	56,472

Period Ended September 30, 2020

Report No. 142

IRVING H. PICARD, TRUSTEE FOR THE LIQUIDATION OF BLMIS, LLC  
Investment Accounts-Continued

	JP Morgan Chase						Account Balance
	Cash/Escrow Fund (5)	Cash/Commercial (5)	U.S. Treasury Fund Blackrock (5)	U.S. Treasury Fund Goldman Sachs (5)	U.S. Treasury Fund JP Morgan Chase (5)	U.S. Treasury Bills (4)	
<b>Balance August 31, 2020</b>	362	100,034,180	2,440	209,983,277	100,018,163	140,999,152	551,037,574
Maturing of U.S. Treasury Bills							-
Purchase of U.S. Treasury Bills							-
							-
Realized Gain on the Sale of Securities							-
Unrealized Gain or (Loss)						16,924	16,924
Interest and Dividends Earned		10,684		1,052	1,507		13,243
Transfer of Funds from Treasury Funds	2,440		(2,440)				-
<b>Balance September 30, 2020</b>	<u>2,802</u>	<u>100,044,864</u>	<u>-</u>	<u>209,984,329</u>	<u>100,019,670</u>	<u>141,016,076</u>	<u>551,067,741</u>

\* Note (4) The summation of U.S. Treasury Bills is \$337,912,099.

\* Note (5) The summation of these short-term investments, money market funds, IMMA, certificates of deposit, mutual fund accounts, accrued interest and other investments, including alternative investments, is \$657,779,244.

Period Ended September 30, 2020

Report No. 142

**IRVING H. PICARD, TRUSTEE FOR THE LIQUIDATION OF BLMIS, LLC**  
**Consultant Expenses for Court Related Noticing and Interim Distributions**

	<b>Net Change for Period</b>	<b>Prior Period Cumulative</b>	<b>Cumulative Total Paid</b>
Postage / Handling / Preparation	0.00	541,201.81	541,201.81
Printing	0.00	44,945.40	44,945.40
Reproduction Costs	0.00	762,418.30	762,418.30
Supplies	0.00	98,493.66	98,493.66
<b>Total *See Note Below</b>	<b><u><u>\$0.00</u></u></b>	<b><u><u>\$1,447,059.17</u></u></b>	<b><u><u>\$1,447,059.17</u></u></b>

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\*Note: All of the expenses above were incurred by consultants in connection with court related noticing procedures and Interim Distributions, which are included in the Consultant Expenses line (Account #5241) on Page 2 of the SIPC Form 17.